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## Volume 2. Air Operator Certification and Fractional Ownership Application

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### CHAPTER 3. THE CERTIFICATION PROCESS - 14 CFR PART 135

#### SECTION 1. PHASE 1 - PREAPPLICATION

##### 167. GENERAL.

*A. Direction and Guidance.* This chapter provides direction and guidance on the certification process of Title 14 of the Code of Federal Regulations (14 CFR) part 135 air operators. This process, if followed, will lead to successful compliance with Title 49, United States Code (U.S.C.) (formerly the Federal Aviation Act of 1958) and 14 CFR. Under no circumstances will an applicant be certificated until flight standards district offices (FSDO) and regional flight standards division (RFSD) offices are confident that the prospective certificate holder is capable of fulfilling the required responsibilities and willing to comply with 14 CFR in an appropriate and continuing manner. The certification process employs a gate system that requires the completion of certain items prior to continuation of the process.

**NOTE: Small, less complex operators may be eligible to use a modified certification process. The modified process will usually be quicker and require fewer operator and Federal Aviation Administration (FAA) resources. The certification process described in this chapter must be thoroughly understood before any attempt is made to use the selected practices that modify the small operator certification process. These selected practices are discussed in section 6 of this chapter**

##### 169. DEFINITIONS.

*A. Basic Part 135 Operator (On-Demand Operations or Commuter and On-Demand Operations Only).* OpSpec A037 or OpSpec A038. A basic part 135 operator is a certificate holder using more than one PIC and authorized (because of the operation's limited size and scope) certain deviations from the manual content, management personnel, and training program curriculum requirements of part 135. This section establishes the extent of deviation authorized, the maximum size and scope of operation, and selected practices applicable to the certification of a basic part 135 operator.

*B. Single Pilot-In-Command (PIC) Operator* OpSpec A039. A single PIC operator is a certificate holder using only one PIC for part 135 operations. The PIC shall be identified

by name on the certificate holder's operations specifications. Using "free-lance" pilots or temporary pilot employees in place of the PIC named on the operations specifications is not authorized. The certificate holder may be authorized to use no more than three individuals as second-in-command (SIC) pilots. These individuals will be identified by name on the certificate holder's operations specifications and shall meet all requirements of part 135 to serve as SICs. Single PIC operators are not authorized to operate aircraft type certificated for more than nine passenger seats, conduct Category II (CAT II) or Category III (CAT III) operations or conduct operations outside the United States (U.S.), Canada, Mexico, or the Caribbean. Certificate-holding district offices (CHDO) are authorized to grant single PIC operators complete deviations from § 135.21(a), 135.341(a), and 14 CFR part 119, § 119.69(a). In some situations a complete deviation may not be justified, and the CHDO may determine that partial deviations are more appropriate.

*C. Single Pilot Operator* OpSpec A040. A single pilot operator is a certificate holder using only one pilot for part 135 operations. The pilot shall be identified by name on the certificate holder's operations specifications. Using "free-lance" pilots or temporary pilot employees in place of the pilot named on the operations specifications is not authorized. Part 135 does not require single pilot operators to maintain manuals, training programs, or management positions (no deviation required). Selected practices for certification of single pilot operators are in this section.

**NOTE: See Volume 2, Chapter 1, Section 1, Paragraph 5 for additional definitions.**

##### 171. INITIAL INQUIRIES OR REQUESTS.

*A. Initial Inquiries.* Initial inquiries about certification or requests for application may come in various formats from individuals or organizations. These inquiries may be in writing or in the form of meetings with FSD personnel.

*B. Applicant Orientation and Preliminary Discussion.* Upon initial contact, FSDO personnel should direct the applicant to the Flight Standards Service web site at <http://www.faa.gov/> for applicable regulations, ACs, FAA Orders,

notices, bulletins, and other pertinent information. In addition, the web site [http://www.faa.gov/other\\_visit/aviation\\_industry/airline\\_operators/airline\\_cert/](http://www.faa.gov/other_visit/aviation_industry/airline_operators/airline_cert/) provides examples of letters, application forms, and other types of information the applicant needs to complete the certification process.

*C. FAA Form 8400-6, Preapplication Statement of Intent.* FSDO personnel should instruct the applicant to complete the Preapplication Statement of Intent (PASI) found at <http://forms.faa.gov/forms/faa8400-6.pdf> and submit the completed PASI to the FSDO.

(1) *Review upon Receipt.* Upon receipt of a signed PASI, the FSDO will review the form to ensure that there is sufficient information to further process the preapplication. The FSDO will ascertain that the proposed operation is consistent with 14 CFR part 135.

(2) *Unacceptable PASI.* If the PASI is unacceptable, the reasons why it is unacceptable must be described in section 2 of the form and returned to the applicant. The FSDO shall notify the applicant, either verbally or by letter, that the PASI is unacceptable for the reasons detailed in section 2 of the form and that a new PASI is required. A copy of the rejected PASI shall be retained in the FSDO files.

(3) *Acceptance of a PASI.* When the PASI is acceptable, the FSDO manager will initiate the Certification Services Oversight Process (CSOP) found in Notice N8000.311, Certification Services Oversight Process for Original Organizational Certification.

### **173. REMOVED CHANGE XX.**

### **175. ASSIGNMENT OF THE CERTIFICATION TEAM.**

*A. Selection of Team Members.* Once the CSOP has been completed and at FSDO has been designated as the CHDO, for the certification project, the CHDO will request a precertification number from AFS-620. (See volume 2, chapter 1, section 4, paragraph 57). The CHDO manager will then select a certification team. The team shall consist of at least an operations, a maintenance, and an avionics inspector. Generally, these inspectors will be the principal inspectors assigned to the applicant once the certification process is completed. In addition, the utilization of the regional Cabin Safety Inspector (CSI) and Dispatch Inspector is recommended. An operations inspector qualified for each of the aircraft proposed to be used shall be assigned to the team if the prospective principal operations inspector (POI) is not qualified for the aircraft.

*B. Designation of Certification Project Manager (CPM).* The manager of the CHDO will designate one member of the certification team to serve as the CPM. The person designated as CPM should have completed appro-

priate training and should have previous experience in the certification of an air carrier under part 135. It is desirable that a person with principal inspector experience be designated as the CPM; however, depending on the situation, other inspectors may be acceptable.

### **177. RESPONSIBILITIES OF CPM AND THE CERTIFICATION TEAM.**

*A. Responsibilities of the CPM.* The CPM and other certification team members shall conduct themselves in a professional and responsive manner with the applicant. The CPM shall serve as the primary spokesperson for the FAA throughout the certification process. Consequently, the CPM must thoroughly coordinate all certification matters with all other specialists assigned to the certification project. The CPM shall be responsible for ensuring that all certification job functions are completed. All correspondence, both to and from the applicant, shall be coordinated with the CPM. The CPM must notify the CHDO manager of any information that may significantly affect or delay the certification project. The CPM must ensure that individuals involved with the certification project and the CHDO manager are kept fully informed of the current status of the certification. The "Five Phases of Certification and Requirements of the Gate System" (figure 2.3.1.1), "Part 135 Certification Job Aid and Schedule of Events" (figure 2.3.1.2) and the "Part 135 Certification Job Aid for Cabin Safety" (figure 2.3.1.3) should be used as guides for the conduct of these status meetings.

*B. Responsibilities of the Certification Team Members.* Each team member shall respond to requests for assistance made by the CPM and keep the CPM informed of the status of the certification. Any discrepancy that may delay the certification effort must be brought immediately to the attention of the CPM.

*C. Responsibilities of the CHDO Manager.* The CHDO manager shall keep the RFSD informed of any unusual aspects of the certification process or of those aspects that may attract the attention of local or national political entities or the media. The CHDO manager shall coordinate with the RFSD when intra/interregional coordination is required. However, routine certification job function coordination between FSDO's is appropriate and encouraged.

*D. Responsibilities of the Applicant.* The applicant must develop and complete all required programs and documents for submission with the formal application.

### **179. PREAPPLICATION MEETING.**

*A. General.* In preparation for the meeting, the assigned inspector should remind the applicant that the key management personnel should attend the preapplication meeting and should be prepared to discuss, in general terms, specific aspects of the applicant's proposed operation. The inspector should discuss the certification process in depth. Emphasis

should be placed on the expectations of the FAA, what the applicant should expect from the FAA, and the sequence of events. The Five Phases of Certification and the Requirements of the Gate System (see figure 2.3.1.1.) should receive emphasis, and the applicant should be encouraged to ask questions during the discussion. Applicants should be thoroughly familiar with the gate system requirements before continuing with the process.

**B. Precertification Information.** The preapplication meeting between the CPM, other certification team members, and the applicant sets the tone for the rest of the certification process. Therefore, it is important that the CPM be thoroughly prepared to conduct the meeting. The CPM should direct the applicant to the FAA web site at: [http://www.faa.gov/other\\_visit/aviation\\_industry/airline\\_operators/airline\\_cert/](http://www.faa.gov/other_visit/aviation_industry/airline_operators/airline_cert/) to obtain precertification information. This web site provides links to the following:

- AC 120-49 (as amended)
- PASI (Preapplication Statement of Intent)
- Sample Formal Application Letter
- Sample Letter of Compliance
- Applicable sample of Operations Specifications (OpSpecs)
- Additional publications or documents that the CPM considers appropriate
- Sample General Operations Manual (GOM)
- Sample Company Training Manuals

**NOTE: Management qualifications must be reviewed by the certification team (see paragraph 183D) to determine that there is a resume for each required management position and that these resumes contain the basic information necessary to determine regulatory compliance. The depth of review should be only to determine that there are no obvious omissions or significant discrepancies. An example of a significant discrepancy might be that the regulation requires an individual to hold an Airline Transport Pilot (ATP) Certificate, but the resume shows that the individual holds only a Commercial Pilot Certificate. (See Section 119.71(f) for deviation authority.) A detailed review of the management qualifications and effectiveness must be accomplished during the document compliance and the demonstration and inspection phases.**

**C. Briefing of the Applicant.** At the preapplication meeting, the applicant and any key personnel attending the meeting should be briefed in as much detail as necessary to ensure that they understand the certification process using the certification job aid and the schedule of events format as guides to facilitate the discussion and to ensure that all elements of the certification process are covered. The appli-

cant should be encouraged to ask questions about any area of the process not clearly understood.

**D. Verifying Information on the PASI.** The first item for discussion should be verification of the information on the PASI, such as the type of operation, types of aircraft, geographic areas of operation, and location of facilities. When changes to this information occur, the applicant must annotate the changes on the PASI. If the changes significantly affect the anticipated scope and/or type of operation, a copy of the revised PASI shall be forwarded to the RFSD. If the changes indicate the need for reassignment of certification responsibilities to another FSDO, the RFSD shall notify, without delay, the affected FSDOs so that the certification project can be reassigned. In this situation, it may be appropriate to terminate the preapplication meeting.

**E. Informing the Applicant of Pertinent Regulations.** It is essential that the applicant understand which regulations are applicable to the proposed operation. The applicant should be advised to acquire and become familiar with 14 CFR and other ACs pertinent to the proposed operation. The applicant and the applicant's personnel must be made aware of their responsibilities during the certification process. It is to their benefit to submit required items as soon as they become available, in order to meet Gate I requirements, and to notify the FSDO immediately of any problems or changes in the proposed operation.

**F. Appropriate Department of Transportation (DOT) Economic Authority.** The applicant should be advised that it is the applicant's responsibility to apply for and obtain the appropriate DOT economic authority per 14 CFR part 119.5(i). The inspector should further advise the applicant that the FAA will not proceed with the certification process until Gate I requirements have been fully met (see figure 2.3.1.1). In addition, the FAA will not proceed beyond Gate III until the applicant provides the evidence of appropriate economic authority. The FAA will not issue the operations specifications until the DOT economic authority is obtained. In the case of a commuter air carrier or a carrier seeking a certificate of public convenience and necessity from DOT, a fitness determination is required under 14 CFR part 204.

**NOTE: For the on-demand part 135 air carrier, the part 298 OST registration form 4507 and proof of insurance coverage with the required fee (per 14 CFR part 298) must be submitted to the FAA Headquarters, AFS-260, 30 days prior to the commencement of operations. The liability insurance coverage can be established with an appropriate future effective date. The FAA will not issue the operations specifications that have an effective date before the liability insurance is effective.**

## 181. INSTRUCTIONS TO THE APPLICANT ON THE FORMAL APPLICATION.

*A. Requirements of Formal Application..* It is essential during the preapplication meeting that the applicant has a clear understanding of the form, content, and documents required for the formal application. The applicant shall be informed that the formal application must be submitted to the assigned FSDO and, after initial review, notification of its acceptance or rejection will be provided by letter within 10 working days. The applicant should be encouraged to submit the formal application as far in advance as possible of the intended starting date.

**NOTE: The inspector should inform the applicant that while FAA inspectors will furnish informal guidance and advice during the preparation of required documents and manuals, the production of acceptable documents and manuals is solely the responsibility of the applicant.**

*B. Formal Application Letter.* The formal application letter serves as the vehicle to transmit the package of documents required to pass through Gate II. The inspector shall inform the applicant that the formal application must be a letter containing a statement that the letter serves as a formal application for either an air carrier certificate or an operating certificate. The letter must contain the full and official name of the applicant. This letter must be signed by; the owner, when applying as an individual or sole proprietorship, all partners, when applying as a partnership, or an authorized officer(s), when applying as an organization such as a company or a corporation. The letter shall contain the physical location address of the applicant's intended primary operating location. The applicant's mailing address shall be included in the formal application letter if different than its letterhead. This letter shall also include the full name and address of the applicant's agent for service as required by 49 U.S.C. 46103(c). Additionally, the letter will confirm the identity of key management personnel such as the general manager, director of operations, director of maintenance, chief pilot, and chief inspector, as applicable. When a request for deviation from the qualification requirements of management personnel is anticipated, it should be noted in the formal application letter. However, the request for the deviation and the justification for that deviation shall be made in a separate letter. The CPM should direct the applicant to the FAA web site at: [http://www.faa.gov/other\\_visit/aviation\\_industry/airline\\_operators/airline\\_cert/](http://www.faa.gov/other_visit/aviation_industry/airline_operators/airline_cert/) to obtain a sample of a formal application letter.

**183. FORMAL APPLICATION ATTACHMENTS.** The formal application letter must be accompanied with at least the attachments described in the following subparagraphs.

*A. Formal Schedule of Events.* (Figure 2.3.1.2 provides a sample format for a schedule of events.) The applicant needs to understand that the schedule of events is a key

document to be presented with the formal application. The schedule of events is a list of items, activities, programs, aircraft and/or facility acquisitions that the applicant must accomplish or make ready for FAA inspection before certification. The schedule of events will include the applicant's best estimate of the date the item, activity, program, aircraft, or facility acquisitions will be accomplished or ready for inspection. The applicant shall be informed that the schedule of events must be constructed in a logical and sequential manner. The schedule of events must also provide for a reasonable amount of time for the FAA to review and accept or approve each item or event, before scheduling other items or events that are dependent on such acceptance or approval. The applicant should be informed that failure to accomplish an item or event in a satisfactory or timely manner in accordance with the schedule of events could result in a delay in certification. The applicant should be advised that if deficiencies are detected during the review of manuals and other documents, they will be returned for amendment or correction. Such action may also cause additional delays in the certification process. The applicant should be encouraged to use this format; however, other formats may be acceptable if they provide information necessary for the certification team to ensure that the applicant is proceeding in an appropriate manner.

*B. Company General Manuals.* (Sample GOM may be found at [http://www.faa.gov/other\\_visit/aviation\\_industry/airline\\_operators/airline\\_cert/](http://www.faa.gov/other_visit/aviation_industry/airline_operators/airline_cert/)) This attachment to the formal application may be in the form of one or more manuals or volumes. These manuals must contain information about the applicant's organization, general policies, duties, responsibilities of personnel, operational control policy, and procedures. In practice, these manuals are often known as the General Operations Manual (GOM) and the General Maintenance Manual (GMM). The applicant's entire manual, as required by § 135.21, must be completely developed at the time of formal application to satisfy the requirements of Gate II. The applicant should ensure that the manuals are in compliance with at least the following 14 CFR sections, as applicable:

- § 135.23(a)-Management personnel and responsibilities
- § 135.23(b)-Weight and balance procedures
- § 135.23(c)-OpSpecs
- § 135.23(d)-Accident notification procedures
- § 135.23(e)-Procedures for pilot knowledge of airworthiness status
- § 135.23(f)-Procedures for recording mechanical irregularities
- § 135.23(g)-Procedures for determining maintenance corrective action
- § 135.23(h)-Procedures for obtaining maintenance without previous arrangements

- § 135.23(i)-Procedures for release of/or continuing a flight with required equipment inoperable
- § 135.23(j)-Procedures for refueling
- § 135.23(k)-Passenger briefing procedures
- § 135.23(l)-Flight-locating procedures (when applicable)
- § 135.23(m)-Procedures for ensuring compliance with emergency procedures
- § 135.23(n)-Pilot en route qualifications procedures (when applicable)
- § 135.23(o)-Approved aircraft inspection program (when applicable)
- § 135.23(p)-Procedures and instructions regarding hazardous materials
- § 135.23(q)-Procedures for the evacuation of persons requiring assistance
- § 135.23(r)-Destination Airport Analysis (when applicable)
- § 135.23(s)-Other procedures and policy instructions regarding operations
- § 135.427(a)-Organization and maintenance arrangements
- § 135.427(b)(1)-Method of performing routine and nonroutine maintenance
- § 135.427(b)(2)-Items that must be inspected (required inspections)
- § 135.427(b)(3)-Method of performing required inspections
- § 135.427(b)(4)-Procedures for reinspection
- § 135.427(b)(5)-Inspection procedures
- § 135.427(b)(6)-Procedures to ensure inspections are performed
- § 135.427(b)(7)-Inspection limitations
- § 135.427(b)(8)-Authority to countermand decisions
- § 135.427(b)(9)-Procedures to ensure that inspections are completed
- § 135.427(c)-Records retention system

*C. Company Training Curriculums.* (A sample company training manual may be found at [http://www.faa.gov/licenses\\_certificates/airline\\_certification/media/nTng\\_Pro.doc](http://www.faa.gov/licenses_certificates/airline_certification/media/nTng_Pro.doc).) The company training curriculum must be attached to the formal application. The company training curriculum must include at least the following curriculum segments for each applicable crewmember position:

- Basic indoctrination training
- Emergency training
- Initial aircraft ground training

- Initial aircraft flight training
- Upgrade
- Recurrent
- Requalification
- Differences
- HAZMAT

*D. Management Qualification Resumes.* This attachment shall include resumes that meet the requirements of both part § 119.69 and 119.71 and contain information on the qualifications, certificates, ratings, and experience of personnel selected for the following positions, or equivalent:

- Director of Operations
- Director of Maintenance
- Chief Pilot

(1) The applicant shall be informed that the effectiveness of the applicant's management personnel will be observed throughout the certification process. If, during the preapplication meeting, it becomes apparent that a proposed management candidate does not meet the required experience outlined in the appropriate regulation, the applicant should be informed that the applicant may apply for a deviation for the prospective certificate holder to employ that person if equivalent aeronautical experience is shown by documentation. With the exception of the recency of experience requirements, the deviation request procedure is not to accommodate individuals who do not possess the length of experience required by regulations. This request for a deviation must be made to the FSDO as soon as practical to enable the individual who will hold the position to be involved early in the certification process.

(2) Normally, full-time management employees are expected for part 135 operations. However, depending on the size, scope, and complexity of the operation, part-time management personnel may be accepted by the CHDO.

(3) Although part 135 does not establish a requirement for a Director of Safety position, Principal Inspectors shall encourage their assigned air carriers to either (1) develop a safety department, appropriate to the size and scope of operations, that addresses the broad range of risks involved in commercial aviation to include, but not limited to, flight, maintenance and ground safety or (2) designate a company management official or manager to monitor and evaluate flight, maintenance, and ground safety practices, procedures, and programs.

**NOTE: Refer the applicant to AC 120-59 "Air Carrier Internal Evaluation Programs" for additional information**

**NOTE: See Volume 3, Chapter 1, Section 3, OPSPEC A006 – MANAGEMENT PERSONNEL, for detailed guidance regarding management devia-**

**tion requests.**

*E. Documents of Purchase, Contracts, and Leases.* This attachment should provide evidence that the applicant has acquired aircraft, facilities, and services to conduct the type of operation proposed. This evidence may be in the form of proof of formal purchases, leases, or contractual arrangements. These documents should provide evidence that the applicant is, in good faith, committed to making arrangement for aircraft, supporting facilities, and services as necessary for the proposed operation. Examples of the types of equipment, facilities, and services that should be addressed in these documents, contracts, or leases include the following:

- Aircraft
- Station facilities and services
- Weather and Notices to Airmen (NOTAM) gathering facilities and services
- Communications facilities and service
- Maintenance facilities and service
- Aeronautical charts and related publications
- Airport analysis and obstruction data
- Contract training or facilities

*F. Compliance Statement.*

**NOTE: A sample letter of compliance may be found at [http://www.faa.gov/other\\_visit/aviation\\_industry/airline\\_operators/airline\\_cert/](http://www.faa.gov/other_visit/aviation_industry/airline_operators/airline_cert/)**

(1) Preparation of the compliance statement benefits the applicant by systematically ensuring that all applicable regulatory aspects are appropriately addressed during the certification process. The compliance statement shall be in the form of a complete listing of all appropriate 14 CFR sections (for example, 14 CFR part 21, 43, 91, 108, 119, or 135) pertinent to the operation the applicant is proposing. This list should reference applicable subparts and each relevant section of the subparts. Next to each subparagraph, the applicant must provide a specific reference to a manual, or other document, and may provide a brief narrative description that describes how the applicant will comply with each regulation. This statement also serves as a master index to the applicant's manual system to expedite the FAA's review and approval of the operation and manual system. The compliance statement is a living document that must be kept current as changes are incorporated in the applicant's system.

(2) Where the compliance information has been developed (for example, the manual material submitted with the formal application), a manual reference or description of

the method of compliance must be entered next to the applicable regulatory section.

(3) The list of the specific regulations and subparts, including all subparagraphs, must be presented in the manner prescribed below:

**Example 1. Compliance statement.**

135.244, "Operating experience":

- (a) GOM p. 217, Para. 237
- (b) GOM p. 218, Para. 238
- (c) GOM p. 219, Para. 240

(d) Pilot crewmembers must acquire operating experience as follows:

- (1) GOM p. 220, Para. 241, Training Manual, p. 25
- (2) GOM p. 221, Para. 242, Training Manual, p. 26

**Example 2. Compliance statement.**

135.65, "Reporting mechanical irregularities." The GOM, page 37-5, paragraph 35, instructs the pilot-in-command (PIC) on the requirements for, and methods of completing, the aircraft discrepancy log. The PIC is required to review the log before each flight and to ascertain the status of each previous entry. The GMM page 58-33, paragraph 665(1)(A), instructs maintenance personnel on the requirement to record discrepancies discovered during preflight checks and other types of checks.

**185. CONCLUSION OF PREAPPLICATION MEETING.** The instructor must ensure that the applicant understands that the formal application, with the previously described attachments, must be complete and acceptable or the entire formal application will be rejected.

*A. Applicant is Adequately Prepared.* At the close of the preapplication meeting, the inspector should determine whether the applicant is prepared to proceed with the certification process. If it appears that the applicant understands the requirements of a formal application and will proceed to that phase, the inspector should encourage the applicant to informally coordinate required documents, as they are developed, with the certification team before formal submission.

*B. Applicant is not Prepared.* If it is evident that the applicant is not adequately prepared to proceed with the certification process, the inspector should advise the applicant of the reasons for concern. When it is apparent that the applicant will not be able to prepare an adequate formal application, the inspector should advise the applicant to request another preapplication meeting after complete prep-

aration on the applicant's part. It is appropriate for the inspector to recommend to the applicant one or more of the following actions:

- Further review of the certification process and all applicable guidance
- A more thorough review of the applicable regulations
- Changes in proposed key management personnel
- Retain the services of a professional aviation consultant
- Cease efforts to become FAA certificated

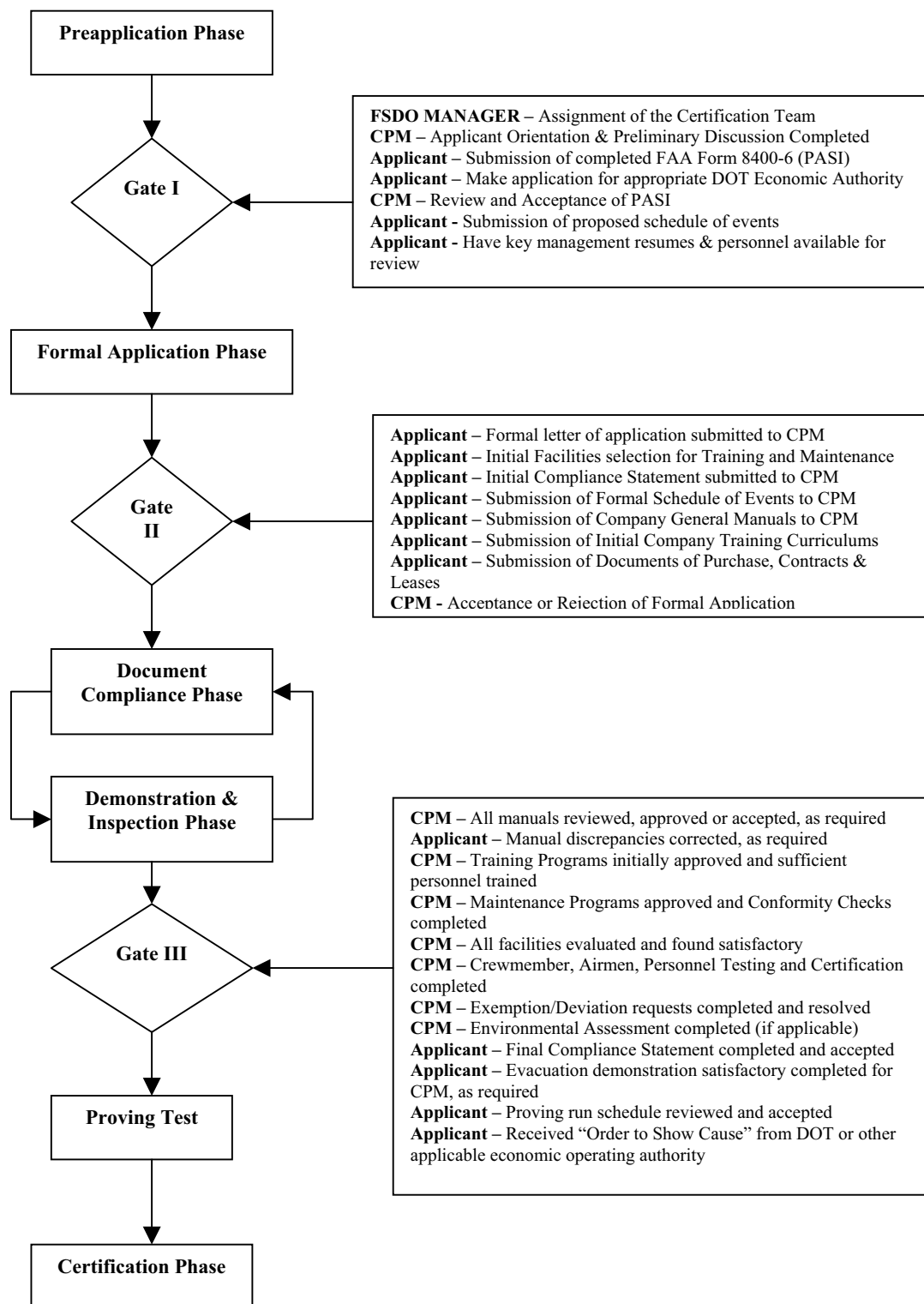
**187. TERMINATION OF THE PREAPPLICATION PROCESS.** If at any time during the preapplication phase the applicant formally terminates all efforts toward certifica-

tion, or the FSDO determines that the applicant will not proceed with the certification process, the PASI will be returned to the applicant. The FSDO will notify the applicant in writing that this action terminates the preapplication process and that the applicant must submit a new PASI in order to initiate the certification process again. The RFSD must be notified of any certification project that is terminated. The CHDO will notify AFS-620, and the precertification number will be returned to the centralized certificate number data file. The CHDO should ensure that appropriate VIS entries are accomplished. Should the applicant again request to apply, the procedures described in paragraphs 173, 175, and 177 of this section will be followed, and a new precertification number will be assigned.

**188. – 198. RESERVED.**

FIGURE 2.3.1.1.

# **FIVE PHASES OF CERTIFICATION AND REQUIREMENTS OF THE GATE SYSTEM FOR PART 135**





**FIGURE 2.3.1.2.**  
**PART 135 CERTIFICATION JOB AID AND SCHEDULE OF EVENTS**

<b>OFFICIAL NAME OF COMPANY</b>		<b>LOCATION ADDRESS</b>			
<b>MAILING ADDRESS (if different from location)</b>		<b>PRECERTIFICATION NO.</b>			
		<b>DATE(S) RECEIVED</b>	<b>DATE(S) RETURNED FOR CHANGES</b>	<b>DATE ACCEPTED</b>	<b>INSP. INITIALS</b>
<b>PTRS Code/ Input</b>	<b>I. PREAPPLICATION PHASE</b>				
	<b>A. CONDUCT PREAPPLICATION MEETING</b>  1. VERIFY PASI INFORMATION 2. OVERVIEW OF CERTIFICATION PROCESS 3. PROVIDE GUIDANCE ON WHERE TO OBTAIN CERTIFICATION INFORMATION a. Certification Job Aid b. Schedule of Events c. Advisory Circular Checklist d. Operations Specifications data sheet e. Other Applicable Publications and Documents 4. EXPLAIN FORMAL APPLICATIONS SUBMISSIONS				
	<b>B. CERTIFICATION TEAM DESIGNATED</b> at least one Operations, one Maintenance, and one Avionics Inspector (CSI and Dispatch Inspectors are recommended).  <div style="display: flex; justify-content: space-between;"> <div>CPM</div> <div>NAME</div> <div>SPECIALTY</div> </div> <div style="margin-top: 5px;"> <div style="border-bottom: 1px solid black; width: 100%;"></div> <div style="border-bottom: 1px solid black; width: 100%;"></div> <div style="border-bottom: 1px solid black; width: 100%;"></div> <div style="border-bottom: 1px solid black; width: 100%;"></div> <div style="border-bottom: 1px solid black; width: 100%;"></div> </div>				
	<b>C. INITIAL ORIENTATION:</b> Inspector _____  1. PREAPPLICATION STATEMENT OF INTENT (PASI): a. Date Forwarded to regional office _____ b. Precertification number _____				
REMARKS:					

**FIGURE 2.3.1.2.**  
**PART 135 CERTIFICATION JOB AID AND SCHEDULE OF EVENTS**  
**(CONTINUED)**

PTRS CODE/ INPUT	II. FORMAL APPLICATION PHASE	DATE(S) RECEIVED	DATE(S) RETURNED FOR CHANGES	DATE ACCEPTED	INSP. INITIALS
	A. REVIEW APPLICANT'S SUBMISSIONS				
	1. FORMAL APPLICATION LETTER				
	a. Full and official name (legal)				
	b. Mailing address				
	c. Primary operating location (principal operations base)				
	d. Name and address of applicants agent for service				
	e. Key Management Personnel Names				
	2. FORMAL APPLICATION ATTACHMENTS				
	a. Schedule of events				
	b. Initial compliance statement				
	c. Company general manuals (Operations and Maintenance)				
	d. New Hire Training Curriculums, to include: Basic Indoctrination Crewmember Emergency Training Pilot - Ground & Flight Training to include: Initial, Upgrade, Transition, Differences & Recurrent, as applicable Flight Attendant – Ground Training to include: Initial, Transition & Recurrent, as applicable * Haz Mat Training Initial/Transition Check Airmen Training Initial/Transition Flight Instructor Training Security Training				
	e. Management qualification resumes				
	f. Doc's of purchase/contract/lease/letters of intent.				
	B. EVALUATE FAA RESOURCE CAPABILITY BASED ON SCHEDULE OF EVENTS				
REMARKS:					

**FIGURE 2.3.1.2.**  
**PART 135 CERTIFICATION JOB AID AND SCHEDULE OF EVENTS**  
**(CONTINUED)**

PTRS CODE/ INPUT	II. FORMAL APPLICATION PHASE (CONTINUED)	DATE(S) RECEIVED	DATE(S) RETURNED FOR CHANGES	DATE ACCEPTED	INSP. INITIALS
	C. FORMAL APPLICATION MEETING  1. SCHEDULE MEETING Date: _____ Time: _____ 2. DISCUSS EACH SUBMISSION 3. RESOLVE DISCREPANCIES/OPEN ITEMS 4. REVIEW CERTIFICATION PROCESS 5. REVIEW IMPACT IF SCHEDULE OF EVENTS NOT MET				
	D. ISSUE LETTER ACCEPTING/REJECTING APPLICATION				
REMARKS:					
PTRS CODE/ INPUT	III. DOCUMENT COMPLIANCE PHASE	DATE(S) RECEIVED	DATE(S) RETURNED FOR CHANGES	DATE ACCEPTED	INSP. INITIALS
	A. EVALUATE APPLICABLE TRAINING PROGRAMS				
	1. TRAINING CURRICULUMS				
	a. Basic Indoctrination				
	b. Crewmember Emergency Training				
	c. Pilot Initial Ground & Flight Training				
	d. Pilot Recurrent Training				
	e. Pilot Transition/Upgrade/Differences Training				
	f. Flight Attendant Initial Ground Training (as applicable) *				
	g. Flight Attendant Transition/Recurrent Training (as applicable) *				
	h. Security Training				
	i. Hazardous Materials				
	j. Check Airman/Flight Instructor				
	k. Maintenance Personnel				
	B. EVALUATE MANAGEMENT QUALIFICATIONS				
	1. DIRECTOR OF OPERATIONS (Principal Owner/Principal Ops Official *)				
	2. CHIEF PILOT *				

**FIGURE 2.3.1.2.**  
**PART 135 CERTIFICATION JOB AID AND SCHEDULE OF EVENTS**  
**(CONTINUED)**

<b>PTRS CODE/ INPUT</b>	<b>III. DOCUMENT COMPLIANCE PHASE (CONTINUED)</b>	<b>DATE(S) RECEIVED</b>	<b>DATE(S) RETURNED FOR CHANGES</b>	<b>DATE ACCEPTED</b>	<b>INSP. INITIALS</b>
	3. DIRECTOR OF MAINTENANCE *				
	4. REQUEST FOR DEVIATION LETTER(s) (part 119.71(f)) (if applicable)				
	C. EVALUATE APPLICABLE MANUALS <b>NOTE: SEE Part 135.23 for a detailed list of requirements</b>				
	1. GENERAL OPERATIONS MANUAL				
	a. Management Persons Required Under 119.69(a)				
	b. Applicable OpSpec Sections				
	c. Emergency Plan/Accident Notification				
	d. PIC knowledge of: required airworthiness inspections, reporting and recording of mechanical irregularities, MEL/Logbook knowledge and out station maintenance/servicing				
	e. Procedures for the release for, or continuation of, flight with inoperable or unserviceable equipment				
	2. GENERAL MAINTENANCE MANUAL				
	3. FAA-APPROVED AIRPLANE FLIGHT MANUAL				
	4. AIRCRAFT CHECKLISTS				
	a. Normal				
	b. Abnormal				
	c. Emergency				
	5. FLIGHT ATTENDANT MANUAL (as applicable) *				
	6. DESTINATION AIRPORT ANALYSIS (as applicable) *				
	7. MINIMUM EQUIPMENT LIST				
	8. CONFIGURATION DEVIATION LIST (as applicable)				
	9. MAINTENANCE TECHNICAL MANUALS (as applicable):				
	a. Airframe/Powerplant				
	b. Structural Repair				
	c. Parts Catalogue				
	d. Inspection Procedures				
	e. Manufacturer's or Vendor's Manual				
	f. Wiring Manual				

**FIGURE 2.3.1.2.**  
**PART 135 CERTIFICATION JOB AID AND SCHEDULE OF EVENTS**  
**(CONTINUED)**

PTRS CODE/ INPUT	III. DOCUMENT COMPLIANCE PHASE (CONTINUED)	DATE(S) RECEIVED	DATE(S) RETURNED FOR CHANGES	DATE ACCEPTED	INSP. INITIALS
	g. Overhaul Manual				
	10. FUELING/REFUELING PROCEDURES				
	11. FLIGHT LOCATING (as applicable)				
	12. WEIGHT AND BALANCE LIMITATIONS				
	13. HAZARDOUS MATERIAL RECOGNITION AND/OR ACCEPTANCE				
	14. SECURITY PROGRAM				
	15. CONTINUOUS AIRWORTHINESS MAINT. PROG. (if applicable)				
REMARKS:					
	D. OTHER EVALUATIONS (as applicable) *				
	1. AIRCRAFT LEASE				
	2. MAINTENANCE CONTRACTS/AGREEMENTS				
	3. SERVICING CONTRACTS/AGREEMENTS				
	4. EXEMPTION/DEVIATION REQUESTS/ JUSTIFICATION				
	5. AIRCRAFT PROVING OR VALITDATION TEST PLAN (if applicable)				
	6. ENVIRONMENTAL ASSESSMENT				
	7. FINAL COMPLIANCE STATEMENT				
	8. INITIATE OPSPECS PREPARATION DATA SHEET				
	9. TRAINING CONTRACTS				
	10. DEICING/ANTI ICING				
	11. EXIT ROW SEATING (20 – 30 seat on-demand or commuter 10 or more seats) *				
	12. ANTI DRUG AND ALCOHOL MISUSE PREVENTION PROGRAM				
REMARKS:					

**FIGURE 2.3.1.2.**  
**PART 135 CERTIFICATION JOB AID AND SCHEDULE OF EVENTS**  
**(CONTINUED)**

PTRS CODE/ INPUT	IV. DEMONSTRATION & INSPECTION PHASE	DATE(S) RECEIVED	DATE(S) RETURNED FOR CHANGES	DATE ACCEPTED	INSP. INITIAL
	A. EVALUATE APPLICANT CONDUCTING TRAINING				
	1. TRAINING FACILITIES				
	2. TRAINING SCHEDULES				
	3. FLIGHT CREWMEMBER TRAINING				
	a. Basic Indoctrination				
	b. Emergency Training				
	c. Ground Training				
	d. Flight Training				
	4. CHECK AIRMAN/FLIGHT INSTRUCTOR				
	5. FLIGHT ATTENDANT TRAINING *				
	a. Basic Indoctrination				
	b. Emergency Training				
	c. Ground Training				
	6. HAZARDOUS MATERIALS				
	7. SECURITY TRAINING				
	8. MAINTENANCE TRAINING				
	a. Mechanics/Repairmen				
	b. Inspection Personnel				
	c. Ground Handling/Servicing				
	9. Station Personnel				
REMARKS:					

**FIGURE 2.3.1.2.**  
**PART 135 CERTIFICATION JOB AID AND SCHEDULE OF EVENTS**  
**(CONTINUED)**

PTRS CODE/ INPUT	IV. DEMONSTRATION & INSPECTION PHASE	DATE(S) RECEIVED	DATE(S) RETURNED FOR CHANGE	DATE ACCEPTED	INSP. INITIAL
	B. CREWMEMBER TESTING AND/OR CERTIFICATION				
	1. PILOTS				
	2. FLIGHT ATTENDANTS *				
REMARKS:					
	C. AIRCRAFT CONFORMITY INSPECTION				
	D. MAIN OPERATIONS BASE				
	E. MAIN MAINTENANCE BASE				
	F. RECORDKEEPING:				
	1. Crewmember:				
	a. Training				
	b. Flight & Rest Times				
	c. Qualifications				
	G. MAINTENANCE:				
	1. Aircraft Records				
	2. Personnel Training				
	3. Personnel Duty Time Limitations				
	H. FLIGHT/TRIP RECORDS				
	I. EMERGENCY AND EMERGENCY EVACUATION DUTIES AND PROCEDURES *				
	J. AIRCRAFT PROVING TEST(S) AS APPLICABLE				
	K. VALIDATION TEST(S) AS APPLICABLE				
	L. PROOF OF DOT ECONOMIC AUTHORITY (AIR CARRIERS ONLY)				
REMARKS:					

**FIGURE 2.3.1.2.**  
**PART 135 CERTIFICATION JOB AID AND SCHEDULE OF EVENTS**  
**(CONTINUED)**

PTRS CODE/ INPUT	V. CERTIFICATION PHASE	DATE(S) RECEIVED	DATE(S) RETURNED FOR CHANGES	DATE ACCEPTED	INSP. INITIAL
	A. APPROVE OPERATIONS SPECIFICATIONS				
	B. PRESENT CERTIFICATE & OPSPECS TO CERTIFICATE HOLDER				
REMARKS:					
	C. PREPARE CERTIFICATION REPORT				
	1. ASSEMBLE REPORT				
	a. Preapplication Statement of Intent				
	b. Certification Job Aid				
	c. Formal Application Letter				
	d. Schedule of Events				
	e. Final Compliance Statement				
	f. Proving/Validation Test Evaluation Report				
	g. Copy of Operations Specifications				
	h. Copy of Certificate				
	i. Summary of Difficulties				
	j. Suggestions to Improve Certification Process				
	2. DISTRIBUTE REPORT				
REMARKS:					
	D. DEVELOP POSTCERTIFICATION SURVEILLANCE PROGRAM				
	1. WITHIN GEOGRAPHICAL AREA				
	2. OUTSIDE GEOGRAPHICAL AREA				
REMARKS:					
<p>* - Denotes processes/steps that may not be required of <i>SINGLE PILOT, SINGLE PILOT-IN-COMMAND, OR BASIC PART 135 OPERATORS</i></p>					



FIGURE 2.3.1.3.

## Part 135 Certification Job Aid for Cabin Safety

<b>CABIN SAFETY INSPECTOR:</b> _____		<b>PRECERTIFICATION NO.</b> _____	
<b>I. PREAPPLICATION PHASE:</b>			
A. Attend Preapplication meeting. Applicant's representative responsible for the flight attendant and cabin safety material. NAME: _____			
B. Inform the applicant about how to obtain the following:			
1. AC 121-24C (as amended) Passenger Safety Information Briefing & Briefing Cards (135.117)			
2. Exit Seating (if applicable) (FAR 135.129)			
3. FAA Order 8400.10, Volume 3, Chapters 14, 15 & 16 (Flight Attendant/Cabin Safety Sections)			
4. Preparation of Flight Attendant Manual Job Aid (Volume 3, Chapter 15, Section 6, Figure 3.15.6.1.)			
5. Flight Attendant Training Job Aid (Volume 3, Chapter 14, Section 2, Figure 3.14.2.1.)			
6. 14 CFR Part 382, Nondiscrimination On The Basis of Handicap in Air Travel			
7. 14 CFR Part 252, Smoking Aboard Aircraft			
<b>II. FORMAL APPLICATION PHASE:</b>		<b>DATE(S) RECEIVED</b>	<b>DATES ACCEPTED</b>
A. Formal Application attachments, to include:			
1. Flight Attendant Training Programs, to include Initial, Transition & Recurrent (as applicable)			
2. Flight Attendant Manual			
3. Applicable crewmember recordkeeping documentation			
4. Exit Seat Program			
5. Passenger Briefing Cards			
6. Compliance Statements (Cabin safety related)			
7. Schedule of Events (Cabin Safety related)			
<b>III. DOCUMENT COMPLIANCE PHASE</b>			
A. Evaluate Applicable Manuals			
1. Flight Attendant Manual			
2. Flight Attendant Training Manual			
3. Security Program			
4. Hazardous Materials Recognition Program			
5. Passenger Briefing Cards, as applicable			
B. OTHER EVALUATIONS (as applicable)			
1. Exit Row Seating (20 – 30 seat on-demand or commuter 10 or more seats)			
2. Emergency and emergency evacuation duties and procedures			
3. Training Contracts (as applicable)			
4. Proving and Validation Tests (as applicable)			
<b>IV. DEMONSTRATION &amp; INSPECTION PHASE</b>			
A. EVALUATE APPLICANT CONDUCTING TRAINING			
1. Flight Attendant Training Facilities			
2. Flight Attendant Training Schedules			
3. Flight Attendant Training, to include: Basic Indoctrination, Ground, HazMat, Emergency & Security			
4. Recordkeeping, to include: Training, Currency & Flight/Rest Times			
5. Proving and Validation Tests (as applicable)			
<b>V. CERTIFICATION PHASE</b>			
Coordinate with other Principal Inspectors to issue OpSpecs			

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**[PAGES 2-109 THROUGH 2-120 RESERVED]**